



IFW 3692

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Total Number of Pages in This Submission

9

Application Number

09/923,035

Filing Date

August 6, 2001

First Named Inventor

John Nafeh

Art Unit

3692

Examiner Name

Timothy M. Harbeck

Attorney Docket Number

PA3817US

**ENCLOSURES (Check all that apply)**

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
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**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name	Carr & Ferrell LLP			Cust. No. 22830
Signature	<i>K. Brian Bathurst</i>			
Printed name	K. Brian Bathurst			
Date	August 13, 2007	Reg. No.	51,442	

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IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE

APPLICANTS: John Nafeh and Kenton K. Yee  
SERIAL NO.: 09/923,035  
CONF. NO.: 8962  
FILING DATE: August 6, 2001  
TITLE: Methods and Apparatus for Formulation, Initial Public or Private Offering,  
and Secondary Market Trading of Risk Management Contracts  
EXAMINER: Timothy M. Harbeck  
ART UNIT: 3692  
ATTY. DKT. NO: PA3817US

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Mail Stop Amendment  
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P.O. Box 1450  
Alexandria, VA 22313-1450

**Response to Restriction Requirement**

Dear Examiner Harbeck:

In response to the Restriction Requirement mailed on July 12, 2007, please amend the above-identified application as follows and consider the following remarks: